

Iowa Department of Public Defense
Iowa Homeland Security and Emergency Management Division

Interim Study Committee on Continuity Planning

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Iowa Homeland Security and Emergency Management
Interim Study Committee on Continuity Planning
December 13, 2006



Committee Charge

- Examine issues relating to the continued functioning of state government following a disaster, including:
 - Gubernatorial succession
 - Replacement of constitutional officers and department heads
 - Legislative elections to fill vacancies
 - Continued funding of state government if the General Assembly is unable to meet and pass a budget



Presentation Highlights

- Define Continuity Planning
- Tenets of Continuity Planning
- Notable Events
- History of Continuity Planning
- Planning Considerations
- Where do we go from here?



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What is Continuity Planning?



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FEMA Definition for Continuity Planning

An effort to ensure continuance of constitutional authority and essential services of government during a wide range of emergencies and events.



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What else is Continuity Planning?

- Describes how an organization is to deal with potential emergency events
- Involves devising a plan that guards against disruption in case of events
- Continuity plans describe the precautions taken so that the effects of a major event will be minimized
- Identifies how an organization will be able to either maintain or quickly resume their essential functions or critical services



Defining Continuity Planning (cont.)

- Good business practice
 - Enables Agencies to continue their essential functions across a broad spectrum of emergencies
- Response to all hazards and full spectrum of threats
 - Natural
 - Manmade
 - Technological
 - National security emergencies



Defining Continuity Planning (cont.)

- Continuity of Operations (COOP)
 - Restore critical functions lost due to internal failures or disruption of needed inputs from external sources
- Continuity of Government (COG)
 - Ensure continued functioning of our constitutional and democratic form of government



Tenets of Continuity Planning



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Elements of a Continuity Plan

- Essential functions
- Delegations of authority
- Orders of succession
- Alternate facilities
- Interoperable communications
- Vital records
- Human capital
- Tests, training, and exercises
- Devolution
- Reconstitution



Objectives of Continuity Planning

- Ensure the performance of an organization's essential functions and operations during an event
- Reduce loss of life, minimizing damage
- Ensure succession in the event a disruption renders the organizational leadership unavailable to perform their responsibilities



Objectives of Continuity Planning (cont.)

- Reduce or mitigate disruptions to operations
- Ensure that organizations have alternate facilities from which to perform their essential functions during an event
- Protect essential facilities, equipment, vital records, and other assets



Objectives of Continuity Planning (cont.)

- Achieve a timely and orderly recovery from a situation and resume essential functions to both internal and external clients
- Achieve a timely and orderly reconstitution from an emergency and resume full service to both internal and external clients
- Maintain a test, training, and exercise program to support the implementation and validation of plans



Notable Events



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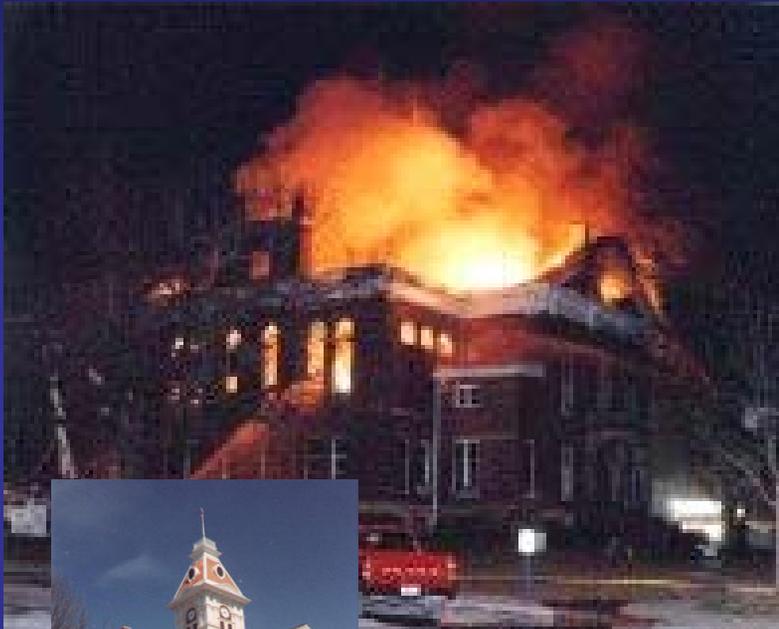


Iowa State Capitol Fire

- 1904, accidental
- Destroyed ceiling of House chamber
- 1 week before House convened
- Session continued despite “heavy soot”
- \$500,000 in damages (\$10 million now)



Page County Courthouse



- December 1991
- Fire, possible faulty wiring
- All records saved, some water damaged
- Purchased empty department store for \$200,000
- Successful bond election secured restoration funds
- Private donations
- Courthouse rededicated in June 1994



Hart Senate Building

- October 2001
- Anthrax-laced letter opened
- Building quarantined
- Expected to reopen after 1 month
- 97 day cleanup
- Worked off of benches and from home
- At least \$14 million for cleanup cost



Iowa State Capitol Water Pipe Break



- Christmas Eve 2004
- Sprinkler system pipe failure
- Damage on all floors of House
- Electrical and mechanical systems affected
- Legislator needs “expected” to be met
- Early estimate of repair and restoration cost at \$700,000



History of Continuity Planning



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Federal Government Planning

- Presidential Decision Directive 67
 - Issued in October 1998
 - Requires all Federal departments and agencies to have a capability for continuance of essential functions under all hazards
- Federal Preparedness Circular 65
 - Issued in July 1999
 - Provides guidance on how Federal departments and agencies are to develop continuity plans
 - Foundation for State and Local efforts



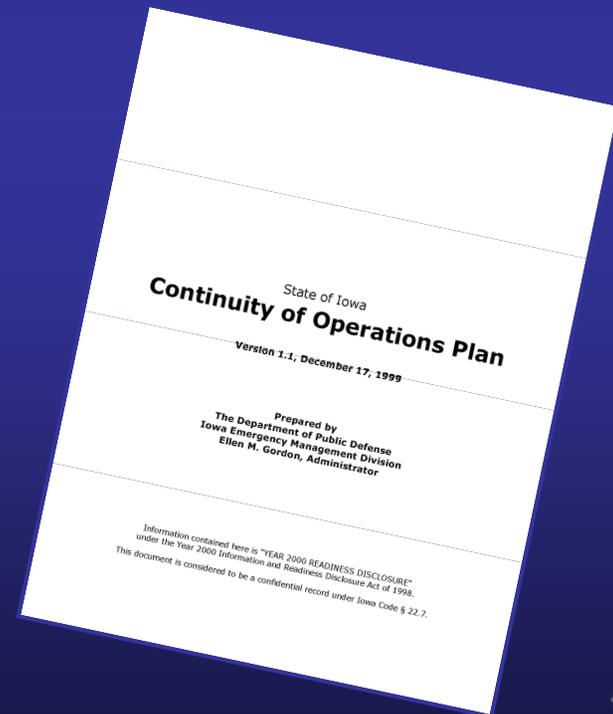
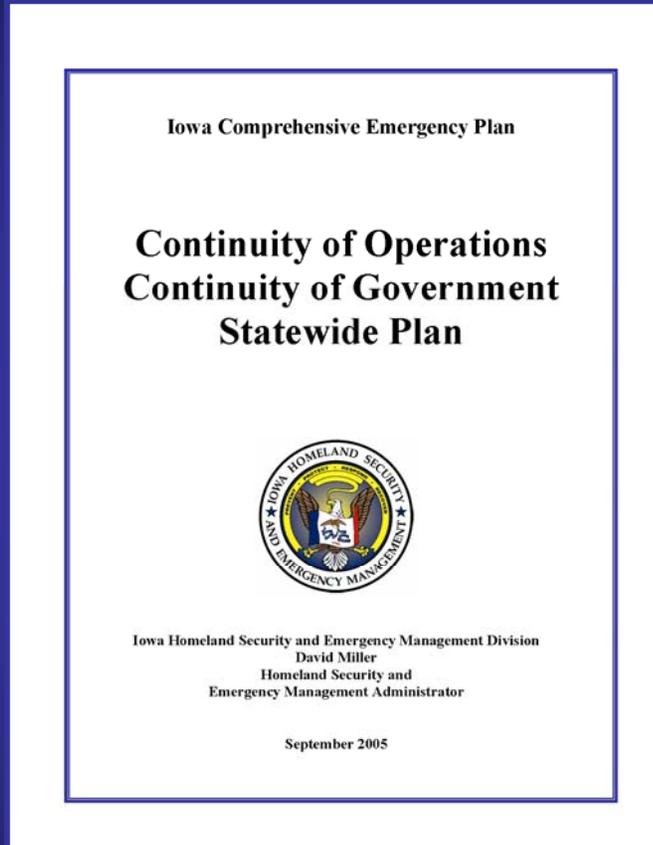
Federal Government Planning (cont.)

- Viable continuity capability
 - With and without warning
 - All-hazards approach
 - Alternate facilities
 - Operational within 12 hours of activation
 - Sustain for up to 30 days
- Use existing capabilities including regional infrastructures, shared alternate facilities



State Government Planning

- Executive Branch
 - Y2K planning
 - Agency Plans
 - Statewide Plan



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State Government Planning (Cont.)

- Executive Branch (cont.)
 - Homeland Security initiative – early 2005 kick-off
 - Executive Order 40
 - Plans completed for over forty Executive Branch departments, divisions, offices, and commissions
 - Enterprise-wide plan developed that prioritizes essential services
 - Currently developing guidance for agencies to enhance human resource elements
 - Living Disaster Recovery Planning System (LDRPS)



State Government Planning (cont.)

- Judicial Branch
 - Working on state-level plan
 - Developing template for system-wide use



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State Government Planning (cont.)

- Legislative Branch

- Y2K recommendations

- 1 Senator and 1 House member to be available to report to the State Emergency Operations Center (SEOC) when all or a portion of the state experiences a “diminished” operating environment
 - Set up a temporary technical support helpline for State Legislators and plan to staff and administer this phone line



State Government Planning (cont.)

- Legislative Branch (cont.)

Current Activities

- Commitment to Capitol Building emergency procedures
- Legislative Services Information Technology Recovery Plan
- Continuity of Government Planning Interim Study Committee



Planning Considerations



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Planning Considerations

- Implementation both with and without warning
- Operational no later than 12 hours after activation
- Capability of maintaining sustained operations for up to 30 days
- Include scheduled testing, training, and exercising of agency personnel, equipment, systems, processes, and procedures used to support the agency
- Provide for a regular risk analysis of current alternate operating facilities



Planning Considerations (cont.)

- Locate alternate operating facilities in areas where the ability to initiate, maintain, and terminate continuity operations is optimal
- Should take maximum advantage of existing infrastructures and give consideration to other options, such as telecommuting locations, work-at-home, virtual offices, and joint or shared facilities
- Must consider the distance of alternate operating facilities from the primary facility and from the threat of any other facilities or locations



Abridged Planning Steps

- Identify mission-critical functions and elements within the Legislature
- Determine what resources are necessary to sustain these functions in an emergency
- Create plans to ensure that these resources are in-place and available when needed
- Present step-by-step procedures to be followed during a crisis or emergency to ensure continuity of operations/government



Abridged Planning Steps (cont.)

- Comprehensive review of policies, procedures, services and capabilities for inclusion in plan development
- Conduct meetings with key officials from the Legislative Branch
- Review internal plans, procedures, regulations, and other relevant documents
- Utilize existing statewide outline to assist in the develop the Legislative continuity plans
- Review and finalize publication of the plans



Continuity Planning Fails When...

- Senior management is not sold on the program's value to the organization
- Continuity planners are not knowledgeable or skilled in the planning process
- Poor quality information is used in baseline assumptions
- There is an unwillingness to modify existing plans
- The program lacks testing, training and exercising



Continuity Planning Succeeds When...

- Culture of the organization is one of acceptance toward continuity planning
- Small, incremental steps in testing, tuning, and implementation result in successful initiatives
- When the processes fit together and the program becomes an asset to the agency
- The organization is studied from the inside out
- Ingenuity overcomes actual or perceived planning challenges



Where do we go from here?



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Where do we go from here?

- Tabletop exercise
- Look for “Lessons Learned”
- Research best practices – what are other states doing?
- Budget for plan development, training, exercising, and maintenance



What information do we already have?

- Authorities and succession
 - Constitution
- Essential functions
 - Legislative guide
 - Mission statements
- Vital records
 - Phone trees / contact information
 - Iowa Code



Continuity Planning Resources

- Articles
- Checklists
- Sample plans
- Plan Management Software Tools
- Training
- Web resources

STATE AND LOCAL PANDEMIC INFLUENZA PLANNING CHECKLIST



Planning for pandemic influenza is critical. To assist you in your efforts, the Department of Health and Human Services (HHS) and the Centers for Disease Control and Prevention (CDC) have developed the following checklist. It identifies important, specific activities large businesses can do now to prepare, many of which will also help you in other emergencies. Further information can be found at www.pandemicflu.gov and www.cdc.gov/business.

This checklist is based on the HHS Pandemic Influenza Preparedness Partners, but is not intended to set forth laws and procedures.

Community Preparedness Leadership
Identify community leaders known to prevent human illness from spreading.

Completed	In Progress	Not Started
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Version 4.4

BUSINESS PANDEMIC INFLUENZA PLANNING CHECKLIST



In the event of pandemic influenza, businesses will play a key role in protecting employees' health and safety as well as limiting the negative impact to the economy and society. Planning for pandemic influenza is critical. To assist you in your efforts, the Department of Health and Human Services (HHS) and the Centers for Disease Control and Prevention (CDC) have developed the following checklist for large businesses. It identifies important, specific activities large businesses can do now to prepare, many of which will also help you in other emergencies. Further information can be found at www.pandemicflu.gov and www.cdc.gov/business.

1.1 Plan for the impact of a pandemic on your business:

Completed	In Progress	Not Started	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Identify a pandemic coordinator and/or team with defined roles and responsibilities for preparedness and response planning. The planning process should include input from labor representatives.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Identify essential employees and other critical inputs (e.g. raw materials, suppliers, sub-contractor services/products, and logistics) required to maintain business operations by location and function during a pandemic.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Train and prepare ancillary workforce (e.g. contractors, employees in other job titles/descriptions, retirees).
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Develop and plan for scenarios likely to result in an increase or decrease in demand for your products and/or services during a pandemic (e.g. effect of restriction on mass gatherings, need for hygiene supplies).
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Determine potential impact of a pandemic on company business financials using multiple possible scenarios that affect different product lines and/or production sites.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Determine potential impact of a pandemic on business-related domestic and international travel (e.g. quarantines, border closures).
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Find up-to-date, reliable pandemic information from community public health, emergency management, and other sources and make sustainable links.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Establish an emergency communications plan and revise periodically. This plan includes identification of key contacts (with back-ups), chain of communications (including suppliers and customers), and processes for tracking and communicating business and employee status.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Implement an exercise/drill to test your plan, and revise periodically.

1.2 Plan for the impact of a pandemic on your employees and customers:

Completed	In Progress	Not Started	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Forecast and allow for employee absences during a pandemic due to factors such as personal illness, family member illness, community containment measures and quarantines, school and/or business closures, and public transportation closures.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Implement guidelines to modify the frequency and type of face-to-face contact (e.g. hand-shaking, seating in meetings, office layout, shared workstations) among employees and between employees and customers (refer to CDC recommendations).
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Encourage and track annual influenza vaccination for employees.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Evaluate employee access to and availability of healthcare services during a pandemic, and improve services as needed.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Evaluate employee access to and availability of mental health and social services during a pandemic, including corporate, community, and faith-based resources, and improve services as needed.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Identify employees and key customers with special needs, and incorporate the requirements of such persons into your preparedness plan.

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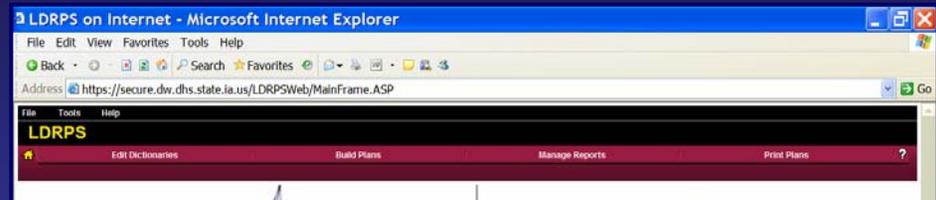


Continuity Planning Resources

Living Disaster Recovery Planning System (LDRPS)

HLSEM
IDHS
DAS
IDOT
IDNR

IT Disaster
Recovery
Planning



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Continuity Planning Resources

COOP/COG Project
Web Page



Continuity Planning
Checklist & Interview Tool

Continuity Planning
Version: August 7, 2004

Continuity Planning (COOP and COG) Checklist & Interview Tool:

Organization: _____
 Parent organization: _____
 Sub-units that will require a continuity plan: _____

Primary Work Location:
 Address _____ City _____ State _____ Zip _____

Continuity Planner "Team Leader" for this organization: _____
 Your Name: _____ Phone # _____
 Today's date: _____ Email: _____

A. General:

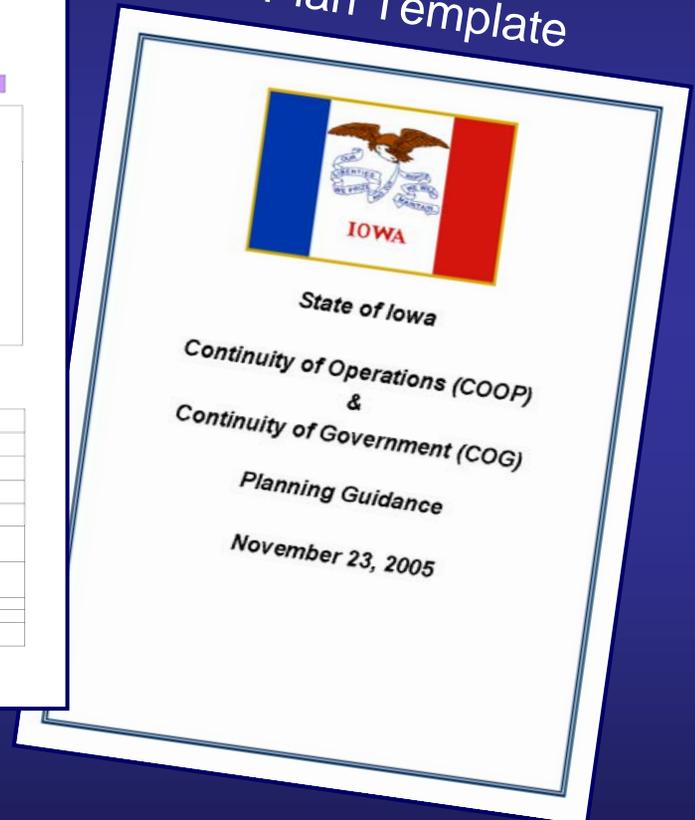
1. Agency specific -

QA1.1	Does your agency feel that continuity planning is essential? If no, why?	Answer:
QA1.2	Have goals and objects for a continuity plan been developed? Who approved them?	Answer:
QA1.3	Have common definitions, terms and planning assumptions been developed?	Answer:
QA1.4	Have policies, regulations, etc. been developed to establish planning committees?	Answer:
QA1.5	Has a budget been established for these efforts?	Answer:
QA1.6	Has there been a continuity plan (COOP or COG) developed for this agency? If yes, has it been updated within the last 6 months?	Answer:
QA1.7	If you have a plan, is the process standardized? If yes, at what level and what was your reference document?	Answer:
QA1.8	If you have a plan, did you use checklists?	Answer:
QA1.9	If you have a plan, how often is it reviewed?	Answer:
QA1.10	If you have a plan, how often is it exercised/tested?	Answer:

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Guidance Document /
Plan Template



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Questions, Comments, Concerns?



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